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**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT  
REGIONAL MISSION FOR THE CENTRAL ASIAN REPUBLICS  
KAZAKHSTAN, KYRGYZSTAN, TAJIKISTAN, TURKMENISTAN, & UZBEKISTAN**

**Director's Office, Acquisition & Assistance Section**



**Date issued: June 27, 2002**  
**Closing Date: July 8, 2002**  
**Closing Time: 10:00 AM (Almaty Time)**

**Subject: DRAFT VERSION FOR COMMENT - Request for Applications (RFA) Number HP122-02-010  
"Drug Prevention in Uzbekistan and Tajikistan"**

The United States Agency for International Development (USAID) is seeking COMMENT from an organization/consortium for funding a program entitled "Drug Prevention in Uzbekistan and Tajikistan". The USAID intends to provide support for prevention of drug use in Uzbekistan and Tajikistan through this Request for Applications (RFA). USAID anticipates making a single award, to a total of \$4,5 million for two years. Of this amount approximately \$3 million will be for Uzbekistan, approximately \$1 million for Tajikistan and a small amount of \$500,000 will be to fund regional (CAR) activities.

Comments should be addressed to the Agreement Officer, Mr. John F. Lord.

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Under this DRAFT RFA applicants are not requested to submit technical and cost portions of their applications.

Issuance of this DRAFT RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This DRAFT RFA and any future amendments can be downloaded from the Federal Business Opportunities Web Site. The World Wide Web Address is <http://www.fedbizops.gov>. Receipt of this DRAFT RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this DRAFT RFA, it shall be resolved by the following descending order of precedence:

- (a) Section II - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) the Program Description;
- (d) This Cover Letter.

Any questions concerning this DRAFT RFA should be submitted in writing to the Agreement Officer, at internet email [AlmatyCO@usaid.gov](mailto:AlmatyCO@usaid.gov), or via facsimile at 1 (413) 771-5698. Applicants should retain for their records one copy of all enclosures that accompany their application.

Sincerely,  
John F. Lord  
Agreement Officer  
USAID/CAR Regional Mission

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## SECTION A - GRANT APPLICATION FORMAT

### PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications that are submitted late or are incomplete run the risk of not being considered in the review process.

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. If submitted in paper form technical portions of applications should be submitted in an original and 5 copies and cost portions of applications in an original and 5 copies.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 2 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section II.

Applicants should retain for their records one copy of the application and all enclosures or attachments if via internet which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

### TECHNICAL APPLICATION FORMAT

The Technical Application should contain the following sections: (a) Cover Page; (b) Application Summary; (c) Narrative; (d) Implementation Plan; and (e) two Annexes (Resumes and Letters of Commitment, and Past Performance References). Page limitations are specified below for each section; applications must be on 8-1/2 by 11 inch paper, single spaced, 10 pitch type or larger, and have at least one inch margins on the top, bottom, and both sides.

**a. Cover Page:** A single page with the names of the organizations/institutions involved in the proposed application, with the lead or primary applicant clearly identified, then any proposed sub-grantees listed separately, including a brief narrative describing the unique capacities/skills being brought to the program by each sub-grantee. In addition, the Cover Page should include information about a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed.

**b. Application Summary:** The Application Summary shall not exceed two pages and should summarize the key elements of the applicant's strategy, approach, and implementation plan. The Application Summary must be concise and accurate.

**c. Narrative:** In forty (40) pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant excluding bio-data and other attachments. The narrative must be brief, concise, and provide a clear description of what the Applicant proposes to do, where, why, and with whom.

**d. Implementation Plan:** In up to five pages, please describe the implementation plan. This plan will be considered illustrative for the purposes of evaluating proposals; however, once the award is made, finalizing the implementation plan is a key activity.

## Annexes

### 1. Resumes and Letters of Commitment

Applicants are to include in this Annex the resumes and letters of commitment for each individual who will work at least 25 percent of his/her time on the program. The resumes must be no more than two pages each, and the letters of commitment must not exceed a single page each.

### 2. Past Performance References for the period from FY 1999 to present.

Describe all contracts, grants, and cooperative agreements which the organization, both the primary Applicant as well as any substantive sub-grantee, has implemented involving similar or related programs over the past three years.

Please include the following:

- Name and address of the organization for which the work was performed;
- Current telephone number of responsible representative of the organization for which the work was performed;
- Contract/grant name and number (if any), annual amount received for each of the last three years, and beginning and ending dates;
- Brief description of the project/assistance activity.

**To facilitate the review of competitive applications, Applicants shall conform to the prescribed format presented in paragraphs a-d above, and carefully review the selection criteria presented in Section II. In preparing your individual application attention should be given to the following information.**

## 1. Proposed Approach and Strategy

### Introduction

In this proposed program, USAID is supporting NGOs working with youth, professionals, sex care workers, prisoners and mobile populations to improve their knowledge and skills with respect to the prevention of drug misuse. This program will support education and training of health care and other relevant professionals, will provide assistance to educational and youth organizations, and will work with the community to ensure that the target groups are well-informed about drugs, their effects and prevention of misuse. To maximize the effective of this program, it will build upon and collaborate with existing programs and activities such as those pertaining to the promotion of healthy lifestyles and the prevention of HIV/AIDS.

#### a. Improved Drug Education and Prevention in Context

Given the nature of both Uzbekistan and Tajikistan's governments, many community systems are in a state of flux. However, it is also a time of great growth for community autonomy, particularly in areas such as strengthening the ability of the community to work together to problem solve, women's empowerment, and increasing the populations awareness of their need to take a proactive role in preventive health activities, including drug prevention programs. Program strategies should focus, in part, on maximizing community participation and identifying key community figures that will be involved in the program. Applicants should consider community groups or NGOs that would be particularly beneficial to supporting the goals and the activities of the program. It will be necessary to improve and build on what exists now in both countries; however, the end results of the program should be able to be adapted into the "new" systems of the countries at some future date. It is therefore essential that programs take account of the cultural and development contexts of Uzbekistan and Tajikistan.

#### b. Donors and Local NGOs

There are various donors such as WHO, UNODCCP, World Bank, UNICEF, and OSI as well as local NGOs who are involved in areas of prevention of drug misuse and promotion of healthy lifestyles, including HIV prevention. Please discuss strategies you would use to ensure collaboration with different groups. A response might include how funds and possible technical assistance would be leveraged from other donors.

c. Evaluation

This RFA contains illustrative indicators. Please describe what indicators you would consider adopting to establish your evaluation framework. Factors to consider as you design indicators and evaluation framework include:

- The identification of useful data sources (either existing or new) to track program changes.
- An implementation strategy that allows for mid-program correction if evaluations indicate that the approaches used are not getting the desired results.

## **2. Management Capacity**

Applicants should address the capability of their organization to manage, staff, and administer this cooperative agreement. Applicants are encouraged to consider consortium agreements and partnerships with local NGOs. The management capacity of any partner organizations should also be discussed including its ability to orchestrate many complex activities that often occur simultaneously, including sub-grants and sub-contracts. The application should detail the administrative, management and financial structures and systems proposed. Critical to this are financial management procedures related to the management of sub-grants and sub-recipients. The Applicant is strongly advised to provide financial information and documentation to demonstrate its organizational capacity to: 1) assess sub-grantees capabilities; 2) approve budgets; 3) monitor advances to sub-grantees; and 4) review and verify sub-grantees reimbursements.

## **3. Organizational Experience**

The application must include a description of the organization's technical resources and expertise. This should include a description of the organization's history, mission, international activities, current and past programming in the Central Asian Region, if any, and U.S. Government support received in the past five years, financial management and reporting systems for home and field offices, and experience in developing and managing similar programs of the type required for this cooperative agreement.

## **4. Staffing Plan**

This program should be implemented with a mix of long-term and short-term consultants. The applicant may propose up to two additional positions one for Uzbekistan and one for Tajikistan in addition to the Project Director to be considered "key personnel" and subject to USAID approval. Of these, an effort should be made to use Uzbek and Tajik experts. Some of the suggested skills should include expertise in management, consensus building, development of community participation, and demonstrated experience in the areas of drug education and the prevention of drug misuse.

Most of the people and activities will be in the field. Consideration should be given to maintaining a small office for the Project Director in Tashkent. It is important for the Project Director to coordinate and collaborate with other donors and actors in the drug education and prevention field. Also, he/she will need to establish relationships and represent the project at the appropriate levels of the Ministries of Health and Education and other government institutions such as training institutions in Uzbekistan and Tajikistan.

The applicant is requested to describe the role of each person proposed. Included should be present relevant work experience, professional competence, special skills, academic qualifications and Russian or Uzbek or Tajik language skills. This information is mandatory for all the long-term positions and is desirable for the short-term experts. In the event, that staff does not have the basic language skills requested, please detail what kind of institutional support will be offered to ensure basic communication skills. When the applicant is considering staff, they should bear in mind the following qualifications:

- Knowledge of USAID regulations and experience working with USAID overseas missions, cooperating agencies and other international funding agencies;
- Demonstrated experience and competency in drug education and drug misuse prevention programs;
- Experience in coordinating activities and multiple organizations which has produced documented results;
- Familiarity with the Central Asian Region.

## **COST APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover (email) from the technical application. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. A copy of the program description that was detailed in the applicants program description, on a 3-1/2" diskette, formatted in Word97.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget should but submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
- your procurement plan for commodities (note that contraceptives will not be provided under this Cooperative Agreement. Health commodities are subject to US source origin and may be approved on a case-by-case basis).

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (as attached):

E. Cost share has been recommended to be 25% of the total estimated amount. If the applicant proposes a cost share of less than 25%, it may be deemed as not responsive, and will be removed from further consideration. Applicants that provide higher amounts of cost share will be evaluated more favorably.

F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
2. projected budget, cash flow and organizational chart;
3. A copy of the organization's accounting manual.



G. Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.
3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

L. Submission of Applications:

1. Applications and modifications thereof shall be submitted via email (attachments) or may be in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

2. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

M. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets \_\_\_\_\_; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

O. Cooperative Agreement Award:

1. The Government may award one Cooperative Agreement resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section III, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

2. The Government may award one Cooperative Agreement on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding Cooperative Agreement without further action by either party. Before the application's specified expiration time, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

4. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Award.

P. Authority to Obligate the Government - The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed award or a specific, written authorization from the Agreement Officer.

## SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

### A. Mandatory Criteria

The criteria is listed in relative order of importance, the first factor being relatively more important than the second and so.

Applications must satisfy this criterion to be eligible (e.g. responsible) for further consideration.

- a) The applicant must be a U.S. Non-Government Organization (NGO) or an public international organization or other type of legal entity accredited or able to obtain accreditation to operate in Central Asia.
- b) Some level of Cost-sharing, Matching Arrangement, and/or In-kind Contribution from non-U.S. Federal level sources is required. The Agency's policy is to set a target of 25%. The exact amount (percentage) may vary but successful applicants are anticipated to include those presenting some level of non-USG funding.

### B. Weighted Criteria

Below are the significant technical and cost factors. The Government will select proposal(s) that it determines present the greatest over value but reserves the right not to select any proposals for funding. These criteria reflect the technical merit of the Applicant's detailed proposal. The numerical rating of 100 points has been allocated to five components:

- I. Technical Approach and Strategies (40 points)
- II. Management Capacity (15 points)
- III. Technical Experience (15 points)
- IV. Staffing Plan (20 points)
- V. Budget (10 points)

Each of the five components has sub-elements and key concepts, and is linked to the programmatic guidance and priorities in Section C, Article I.B. Section C, Article I.C also contains detailed information on these mandatory areas. Applicants should refer back to these sections when developing responses.

Specific point values are assigned to each component but are not broken down across the sub-elements and key concepts. If Applicants fail to include information on any of the required areas, their overall rating will be decreased. Given the constraints of length, Applicants are encouraged to be concise in their discussion. If a particular issue is overly complex for discussion within the allotted length, Applicants should make references to their intended strategies and then flesh out details after award. Applicants are encouraged to use their creativity and describe other strategies and approaches in addition to responding to the mandatory areas. The review panel will welcome suggestions for innovative strategies that will enable the program results to be obtained. However, bear in mind that the response must be contained within a 40-page narrative and a five-page implementation plan, as per earlier instructions in Section A.

### **1. Organizational Experience (15 POINTS)**

a. In-country management presence and logistical capability, demonstrated sound management, and monitoring: This includes the ability to undertake project activities immediately and expand to other activities, sectors, or geographic areas as necessary. Applicants should demonstrate their capacity to monitor programs effectively and gather and analyze data on program impact, including a monitoring plan with applications. Desegregated baseline data (by program - significant grouping e.g. gender, regional/geographic location, ethnicity, age, etc.), or provisions for obtaining such data are required, with a view towards ensuring effective management and measurement of final impact.

b. The Applicant must have experience and demonstrated success in developing drug educational materials and in providing training on prevention of drug misuse. They must also demonstrate evidence of the ability to harness lessons learned in order to build upon them and to conduct the activities proposed in the wider environment in settings such as Uzbekistan and Tajikistan. This includes a demonstrated understanding of the drug problems and related needs as well as the development context in the two countries. It also includes details on anticipated cooperation with other donors, other NGOs, host country officials, and indigenous groups in the host country. The organization must have the capacity to 1) engage governmental and non-governmental stakeholders on several levels to achieve desired objectives; 2) deliver education and training; and 3) transform various inputs into a high quality program for the education of drugs and the prevention of drug misuse.

### **2. Management Capacity (15 POINTS)**

This should include details of the following:

- Proposed organizational, administrative, management and financial structure of applicant as well as any partner organization.
- Ability to orchestrate many complex activities.
- Organizational capacity to manage sub-grants.

### **3. Proposed Approach and Strategies (40 POINTS)**

Extent to which proposal responds to identified needs in Uzbekistan and Tajikistan: Priority sectors for funding are activities that are directed to the key groups in the target regions. NGOs should describe how their projects will achieve sustainability, involve the local community, and enhance institutional capacity of local NGOs.

#### **A. Improved Drug Education and Prevention in Context**

- Sound vision of an effective system for improvement of drug education and services related to prevention
- Implementation plan for education component and for reducing vulnerability of youth
- Well-reasoned prioritization of program components, matching need with appropriate intervention and linkages.
- Logic of the overall sequencing of implementation
- Awareness of cultural and development context in both countries.

#### **B. Donor and Local NGO Partners**

Outreach strategies to Donors and NGOs.

#### **C. Evaluation**

Illustrative indicators

**4. Staffing Plan (20 POINTS)**

The proposal should include the qualifications and experience of personnel who will serve in key positions. The Project Director must be highly skilled in building consensus and have demonstrated expertise in drug education and prevention, networking and management.

**5. Budget (10 POINTS)**

Applicants must present a detailed budget including all sources of funds allocated and a narrative description of each budget line item requested. This will include a description of program vs. administration costs. The budget should also include details of cost sharing, matching and in-kind contributions. The organization should have the demonstrated ability to leverage other donor resources: NGOs and development partners should demonstrate their willingness/ability to identify private, unrestricted resources for basic support costs. Such funding may come from many sources including privately generated programming funds from domestic constituencies; commodities or other resources made available by other U.S. Government agencies; other bilateral donors or private foundations; and international donors such as the World Bank and UNODCCP. Definite commitments from other sources for specific programs should be specifically mentioned and documented. USAID will also consider proposals which are collaboratively prepared between organizations.

## SECTION C - PROGRAM DESCRIPTION

### Drug Prevention in Uzbekistan and Tajikistan

#### SECTION I: PROGRAM DESCRIPTION

USAID/CAR is seeking applications from any international organization to manage activities concerning the prevention of drug use in Uzbekistan and Tajikistan. The program will be for two years for \$4,5 million. Of this amount approximately \$3 million will be for Uzbekistan, approximately \$1 million for Tajikistan and a small amount of \$500,000 will be to fund regional (CAR) activities.

USAID has chosen to focus on drug prevention because it is a priority in both Uzbekistan and Tajikistan, with drug use and attendant harms increasing rapidly in both countries. Because the majority of drug use is through injection, HIV and hepatitis pose a serious threat to the development and security of the region.

#### A. INTRODUCTION

The situation with regard to drug use in Uzbekistan and Tajikistan is similar to that of Central and Eastern Europe in the mid-1990s. That is, the countries now have high levels of drug use but limited experience with drug misuse and associated problems; until recently the drug problem was seen solely as one of drugs passing through the countries on their way to other destinations. There is a predominance of interdiction approaches, the societies are in transition with the accompanying social problems, and there is rapid dissemination of injecting drug use. There is a great deal of high-risk behavior and consequently, enormous potential for HIV transmission. There is thus an urgent need to develop comprehensive drug demand reduction programs to complement the harm reduction programs that are already in place.

According to UNODCCP and local drug control personnel, heroin became widely available and very cheap in both countries in the mid- to late-1990s, replacing raw opium as the drug of choice. Changes in quality and an increase in price then resulted in a large proportion of users turning to injection of the drug in order to obtain the same effect without the increase in expense. The recent unrest in the region and the war in Afghanistan have led to a change in drug routes, with considerable amounts of heroin passing through Uzbekistan and Tajikistan. Marijuana, alcohol, sleeping tablets, cocaine, poppy head infusion and solvents are also used to varying degrees in different parts of the countries. Increasingly, heroin is the first drug used and, increasingly, this is more often through injecting than by another mode of ingestion. The situation is exacerbated by socioeconomic conditions, which give rise to high levels of poverty and unemployment and a lack of leisure activities, especially for youth. More than one quarter of Uzbekistan's and Tajikistan's populations are aged 15-29 years; more than a half of the populations are less than 30 years old. Many youth live in rural areas. There are marked differences between rural and urban youth in terms of culture and behaviors.

According to data from country assessments presented at the Almaty conference on prevention of HIV/AIDS in Central Asia in 2001, the age of first narcotic use is decreasing, as is the age of first injection.<sup>1</sup> Changes in social norms, easy access to cheap drugs, and absence of youth friendly services all contribute to the spread of drug use and the spread of HIV among young people.

There is a high level of migration among countries in the region as well as those with more advanced injection drug use and HIV epidemics within the greater CEE/NIS region. The situation in Tajikistan has been further exacerbated by the recent civil war, which eroded much of the governmental infrastructure and led to a mass-exodus of professionals. The trauma caused by the war is one factor in the increase of drug use, especially among women. Tajikistan is one of the poorest countries in the world. According to the UNDP/World Bank survey (1999), 83% of the population live below the poverty line and average salaries do not exceed one third of the standard of living.

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<sup>1</sup> Mugrditchian, D., 2001, Conference on the prevention of HIV/AIDS and sexually transmitted infections in Central Asia, Synergy Project, Washington DC.

The main drug trafficking routes go through the Fergana valley in Uzbekistan and through southern Tajikistan. Most of the drugs pass through to the Russian Federation and Western Europe but heroin, mainly from Afghanistan, is easily and, despite recent increases in price, still relatively cheaply available in both countries. Drug consumption, especially through injection, has been on the increase since 1991. According to the UNODCCP, a dose of heroin is often cheaper than a pack of cigarettes or a bottle of beer.

It is difficult to estimate the size of the drug using population, especially since the numbers are growing rapidly. Official figures are based on the number of drug users registered by the narcology and police services and are a small minority of all drug users. There are approximately 25,000 registered users in Uzbekistan and 6,300 in Tajikistan.<sup>2</sup> Because fear of repressive measures drives most users underground, experts estimate that the number of drug users is at least 10 to 25 times higher than the official registered figures. For example, UNAIDS estimates that there are 150,000 injection drug users alone in Tajikistan and 200,000 in Uzbekistan.<sup>3</sup>

According to the country assessments presented at the conferences in Almaty in 2001 and in Tashkent in 2002, in both countries the highest rates of increase in drug use are among children and teenagers.<sup>4</sup> Administration by way of injection continues to increase and continues to be carried out with numerous risky practices. These practices include sharing of unclean syringes and other unsterilized paraphernalia, drawing of drugs from a common preparation pot, and use of blood as an absorbent in drug preparation. The majority of drug users are male, under 30 and, in Uzbekistan, administer their drugs by injection. A higher proportion of users inject their drugs in Uzbekistan than in Tajikistan, but the practice of injection is becoming more popular in the latter and is estimated to be the main mode of administration for at least 25% of users. In both countries, the number of female drug users is increasing, as is the number of female drug injectors. Many of these are commercial sex workers (CSW); according to data from a recent assessment conducted in Uzbekistan, up to 30% of CSW use injection drugs.<sup>5</sup> Recent assessments in both countries suggest that women comprise approximately 10% of the total number of drug users and 5% of injecting drug users. Data obtained during interviews with health and enforcement agencies in the two countries in April and May of this year indicate that these trends have continued.

Despite the magnitude and the rate of increase of the problem, there are no special targeted prevention programs in either country. The information provided by the mass media is very inadequate. Currently, the main source of information about drugs and their effects are television and radio. Television information received by the majority of people is limited to the results of law-enforcement activities, not prevention or harm reduction. Specialized health services have poor access to drug injectors or those at most risk for drug misuse. Factors which further aggravate the harmful consequences of drug misuse are the secretiveness of the population, the variable purity of drugs, the lack of information systems, limited opportunities for anonymous services and lack of medications. It is difficult to access those most at risk because of their lack of trust of the system. Many users are involved in low-level dealing to support their habits. The existing repressive policies toward drug users as well as the negative attitude toward them complicate prevention. The government of Uzbekistan is developing a comprehensive strategy for drug prevention but this has not yet been done in Tajikistan.

Drug education material is scant. The material that is available is often inaccurate and uninteresting. There are some good courses being offered by NGOs in schools, where the students are very eager for more information and discussions. There is little or no money for printed material. This is especially a problem in Tajikistan, where paper and copiers are scarce. Education is needed in all sectors of society including health and legal professionals, police and the military. Because of the cooperation between public health and law-enforcement in repressive measures, target groups are understandably wary of public health programs. Because of the repressive laws regarding drug possession, many drug users go to prison. In prisons there is no drug education, drug use is widespread and self-made injection devices are frequently used. Prison inmates and staff should be a priority group for education on drugs and on HIV.

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<sup>2</sup> Uzbekistan data from the Interagency Working Group for development of the Strategic plan of response to the HIV/AIDS epidemic, Presented at the National Conference on HIV/AIDS, Tashkent, 2002; Tajikistan data are from UNODCCP, Dushanbe, May 2002.

<sup>3</sup> Pearce, D., HIV/AIDS in Uzbekistan, Paper presented at the First National Conference on HIV/AIDS, Tashkent, April, 2002.

<sup>4</sup> See notes 1 and 2.

<sup>5</sup> Uzbekistan data from the Interagency Working Group for development of the Strategic plan of response to the HIV/AIDS epidemic, Presented at the National Conference on HIV/AIDS, Tashkent, 2002.

Drug treatment is inadequate, expensive or both. The majority of users have to rely on inadequate treatment through state hospitals; private treatment is expensive and not necessarily effective. Many users fear coercive treatment and avoid the authorities for this reason; this makes education all the more vital. To date, measures used toward drug users have been repressive, including detainment by law enforcement, forced testing and registration with the police. There are no psychosocial rehabilitation centers and no substitution therapy programs. Law enforcement agencies are just beginning to turn their attention to prevention of drug use rather than to supply reduction alone.

According to country assessments presented at the Almaty conference, drug users in the two countries tend to be rather mobile, the main motives for migration being seeking new sources of income and evasion of law-enforcement agencies. Users often prepare and use drugs at home in small groups, increasing the likelihood of sharing both drugs and equipment. It is very common for users to intake a dose from a common vessel. Blood is used as an absorbent in the preparation of low-quality drugs. Despite the low price and accessibility of syringes, IDUs report buying them only in cases of emergency. The vast majority of users report sharing syringes without any form of disinfection.

Populations most vulnerable to HIV and STIs such as injecting drug users (IDU), CSW and vulnerable youth are growing; youth account for a significant portion of the IDU and CSW populations (the majority are under 30 years of age). Unprotected sex with multiple partners among all risk groups is said to be common. In many cases strategies for the general youth population and for the high-risk groups are related and overlap. As in neighboring countries, it is difficult to isolate youth at risk for drug use from youth in general: youth in these countries often cross in and out of high-risk behaviors.

At the moment, HIV prevalence is officially classified as low level in both countries but data passive surveillance systems are unlikely to reflect the true magnitude of the problem. The conditions are such that there will likely be a rapid and widespread epidemic as seen in other CIS countries. The HIV epidemic in Uzbekistan is a concentrated epidemic with HIV prevalence exceeding 5% among IDUs in certain cities but remaining below 1% in the general population; 779 HIV infected persons had been officially detected to the end of 2001. Over the last 2 years, injection drug users have comprised the majority of new HIV infections (63%). At the moment, the majority of users have neither the knowledge nor the means to protect themselves against HIV. A National Strategic Plan on HIV/AIDS has been developed but is awaiting funding and final approval.

Based on very limited data, the epidemic in Tajikistan still appears to be either still in the nascent phase or may have entered the concentrated phase. The official number of HIV infections is 48, the majority of these being males between the ages of 20 and 49 years with a history of injection drug use. These data do not reflect the reality regarding HIV/AIDS. Experts have argued that, since medical examination of vulnerable groups is not being conducted, the real numbers are 10-20 or more times higher than the official figures. The government recently approved the Second National Program on HIV/AIDS/STD Prevention and Control, which outlines policy direction and strategies for the period up to 2007. This includes prevention activities for the drug users in trust centers (needle exchanges) and strengthening awareness activities on HIV and drug use.

Both countries have the characteristics, which make an explosive HIV epidemic likely:

- A young population in a social context of economic crisis, increased poverty, increased unemployment, rapid social change, and changes in sexual norms
- A rapid increase in drug consumption and injecting drug use associated with drug trafficking
- A growing sex industry
- High levels of STIs
- Social taboos and coercive legislation

Based on the limited data available, incidence of HIV would appear to be high in both countries, especially among injection drug users, with rates that are likely to approach those in Central and Eastern Europe. In Uzbekistan, 779 HIV infected persons had been detected by the end of 2001, 549 of which had been detected in that year alone, representing 2.3 times the rate of the 14 previous years combined. In Tajikistan, there is simply not enough testing being conducted to provide reliable data although those data that are available are very suggestive: 48 HIV infected persons had been detected



by the end of 2002 which is more than double the total of 22 cases reported between 1991 and 2000.<sup>6</sup> Further, the increasing levels of injecting and the high levels of unsafe drug-use and sexual practices strongly suggest that the pattern of HIV spread will be like that of Uzbekistan. Both countries are therefore at high risk of developing a generalized HIV/AIDS epidemic. This would seriously threaten their social and economic development. Both countries are well advanced in developing national strategic plans for dealing with the HIV/AIDS epidemic.

These are based on the following:

- Multi-sectoral involvement
- A focus on the most vulnerable groups
- Removing repressive legislation that creates fear and stigma among high-risk behavior groups
- Shifting from a predominantly medical approach to a preventive approach that relies on information, behavior change and access to services
- Recognizing the role of NGOs to work with communities that are marginalised by society
- Building partnerships with international organizations
- Creating an environment that is more supportive of mass media
- Initiating dialogue with religious leaders.

Both countries are implementing small-scale HIV prevention activities targeting youth, IDUs, sex workers and their clients, and, to a limited extent, prisoners. Programs targeting youth tend to be school-based and little attention has been given to out-of-school youth and street kids. Very little prevention work has been done with migrants, refugees and other displaced persons.

The culture and religion (Sunnite Islam) of the countries and traditional family structures are thought to be limiting factors on the spread of drug use, but culture and traditions are fast changing in both urban and rural areas. Current attempts at prevention programs are hindered by the negative attitude of society and of government structures toward those most at risk or already using drugs; distrust and fear of drug users, lack of contacts with users, lack of resources, and lack of expertise.

There is an urgent need to develop and implement comprehensive prevention programs which include outreach to target groups, to educate specialists from health and education sectors, law-enforcement organizations, mass media, politicians and NGOs. The governments of both countries consider prevention of drug misuse to be a priority, as do the citizens. At the moment, youth are undereducated and under-utilized in education efforts. The mass media are also grossly underutilized.

It should be noted that the efforts covered by USAID funds are not intended to replace existing national and international programs. The idea is to complement current strategies and programs. A number of international organizations and NGOs are working in the two countries. These include the UN member organizations, OSI, and Project Hope. Of these, UNICEF and UNODCCP are involved in setting up drug prevention programs while OSI is involved with harm reduction. Youth organizations, including volunteers clubs, are active in both countries.

Some harm reduction programs are running in both the countries with the support of UNAIDS and Soros funds; these centers are chronically short of syringes, educational materials and other resources. To date only small-scale harm reduction programs have been piloted and include needle exchange (trust points), education and outreach. The number of trust points is being expanded. These offer an opportunity to supplement harm-reduction programs with other public health initiatives and ancillary services linked to the sites as well as community and school-based interventions to prevent initiation of drug use.

Although NGOs are by no means strong in either country, there are some that are dealing with drug use and some that could be readily trained. NGOs that deal with education in schools and with setting up sports programs are already active

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<sup>6</sup> Uzbekistan estimate from the Interagency Working Group for development of the Strategic plan of response to the HIV/AIDS epidemic, Presented at the National Conference on HIV/AIDS, Tashkent, 2002; Tajikistan estimate from National AIDS Centre and UNAIDS, Dushanbe, May 2002.

and would make ideal partners in a comprehensive strategy. One of the existing mechanisms to be made good use of is the school and college system. Teachers as well as students are hungry for information on drugs, HIV and the like. Schools are sorely lacking in educational materials and welcome resources for health education. The mahalla community system also offers a strong, established mechanism with which to work. The only caution here is that the lack of confidentiality in the mahalla clearly raises problems for many youth and parents.

The main constraints and needs in both countries are:

- Current interventions implemented on a scale far too small to have a meaningful impact on the epidemics and the gap between need and response continues to widen
- Insufficient commitment at the highest levels of government despite a heightened awareness among leadership
- Legislation remains repressive toward vulnerable groups making it very difficult to reach them
- Lack of financial resources for supplies
- Shortage of personnel trained in preventive work.

In order to scale-up responses need:

- Political commitment and will
- Technical and managerial capacity for implementation
- Financial, technical and other resources.

In sum, the situation with regard to drug misuse in both countries is extremely serious and a considerable amount needs to be done in a short period of time. There are, however, some existing mechanisms that can be readily adapted to a comprehensive prevention program and, most important of all, people of all ages are eager and able to learn. Education and training of all sectors and all ages should begin as soon as possible.

## **B. PROGRAM FOCUS**

Effective prevention strategies reduce the misuse of drugs and can also provide young people with the life skills and the supporting environment that enable them to take care of themselves. Drug prevention strategies can also promote partnerships at the community level. To be effective, preventive strategies should include a range of activities that provide people with the social and personal skills necessary for the development of a healthy lifestyle, and with environments that support such development. In order to reduce vulnerability to drug misuse and to HIV/AIDS and to promote care and support for those affected, it is necessary to ensure that rights-based responses are introduced. In addition to primary prevention of drug use, interventions are needed to develop and implement legal support services.

In a recent needs assessment in the two countries, a number of factors essential for a core program on drug prevention were identified. From drug users to NGO staff to teachers, parents and health professions, the identified priorities were the same:

- Something for the youth to do such as sports, hobbies, job training
- Educational materials on drugs including some through the internet
- Resource centers
- Training and training of trainers

Members of government concurred with the above but there is little or no funding for government initiatives. The governments are relying on donors for implementation of programs.

In both countries, the general population as well as professionals need education on the effects of drugs and prevention of drug misuse. There are also target groups in need of intensive and specialized interventions. The primary target group is youth; other priority groups are specialists/professionals, commercial sex workers, prisoners and mobile populations.

## **Youth**

In both countries, a large proportion of the population are under 25 years of age and half the population is less than 30 years of age. Reduction of youth vulnerability should be the first priority for preventive measures. This is because youth in general is not informed about issues to do with drugs and sexual health; the number of youth using drugs, especially by injection, is increasing; and treatment for drug users and for STIs is inadequate. Because of economic instability, youth have few possibilities for development of their creative and professional potential; unemployment limits the independence of young people and their possibilities for safe behavior. In both countries, the governments plan to increase level of awareness for youth with regards to drugs and HIV/AIDS. This will be implemented through wide introduction of programs aimed at the promotion of “Healthy Lifestyle”. Both countries have developed healthy lifestyle school programs but these have not yet been assessed. National youth organizations and movements such as the National Youth League Kamolot in Uzbekistan are beginning to mobilize youth with regard to drugs and HIV/AIDS. They are organizing rock concerts, sports and cultural events, information campaigns and training youth leaders. The youth committees of Uzbekistan and Tajikistan have opened volunteers clubs for training peer-to-peer educators among the youth. These efforts need to be supported and complemented by other programs for in-school and out-of-school youth.

All youth are potentially at risk so broad-based primary prevention programs are needed. Some youth such as those who are out-of-school or without families are especially vulnerable.

The main needs of youth are:

- Information
- Opportunities to develop their skills such as education, jobs
- Safe and supportive environments, including legal, medical and psychological services
- Opportunities to participate in the processes that affect them.

Surveys indicate that youth prefer to get information about drugs and sex from peers, reliable literature and from experts rather than parents. The program should:

- Involve youth: peer to peer
- Reach all young people
- Be individualized according to age group and gender and whether formal or informal
- Take sub-regional and local differences into account
- Be multi-sectoral: health, education, justice
- Involve NGOs
- Support development of leadership among youth
- Be entertaining
- Use mass media
- Establish youth-friendly health and crisis centers paying attention to the needs of street kids
- Create vocational training and job centers for youth

The aim is to help to build national responses which:

- Provide appropriate information to young people and help them to build the skills that enable them to make healthy choices in life so as to protect themselves from substance misuse
- Create a safe and supportive environment for young people;
- Provide confidential and accessible services that cater to the needs of young people
- Help young people to define their responsibilities and help them build skills that enable them to live up to these;

- Help to create mechanisms that ensure the rights of young people are respected by allowing them, among other things, to play a meaningful role in the decision-making processes that affect them;
- Address the needs of girls as well as boys, including those who are at highest risk: those who are homeless, in institutions or out of school.

## **Professionals**

In both countries, all professionals and specialists are in need of training, educational materials and other resources. The situation is particularly dire in Tajikistan, where the civil war led to an exodus of professionals and also eroded the general infrastructure within which services operate. Priority should be given to training and support for teachers, psychologists, physicians (including narcologists) and other health-care workers, police, the military (especially border forces who are at high risk for drug use), politicians, lawyers, and the media. Programs would include:

- Development of training manuals and audiovisual materials
- Seminars and regular update sessions
- Distance education and strengthening of internet capacity
- Study tours
- Development of educational materials
- Support for legal services
- Establishment of resource centers
- Creation of countrywide and subregional networks for professionals
- Support for the development of services for youth and parents, including those already using drugs.

## **Commercial Sex Workers**

There are no reliable data on the size of the sex-worker populations in the two countries. It is estimated that 30-40% of sex workers in Tashkent are IDUs. Injecting drug use is spreading among commercial sex workers in both countries. At the moment, there are some limited STI and HIV/AIDS programs in the two countries, which do provide some drug educational materials to sex workers.

## **Prisoners**

A large number of drug users in both countries are imprisoned for drug-related crimes (nearly one third of inmates in Uzbekistan are known to be IDUs). Pilot programs on harm reduction in prison are being conducted in Uzbekistan (through the help of prisoners' families) and Tajikistan is in the early stages of planning some limited interventions. There is a need to develop best practices for prison-based interventions, to mobilize resources for the expansion of pilot programs and to advocate for reforms in legislation regarding illicit drugs to reduce the number of IDUs in prison.

## **Migrants, Refugees and Displaced Persons**

In Tajikistan, more than 700,000 people were displaced during the civil war, 250,000 of whom have since returned home. Over the past 5 years an estimated one million Tajiks have migrated to other NIS countries seeking temporary or seasonal work. In both countries, there has been a great deal of migration from rural to urban areas in search of jobs. Faced with unemployment in the cities, people turn to drug trafficking and commercial sex work. There is a pressing need for educational materials in train stations, airports and other centers that migrants pass through.

The approach taken to prevention of drug misuse must be coherent, comprehensive, coordinated and multisectoral. It should involve the local community and NGOs as well government ministries and international agencies. There is a need to develop materials that are culturally relevant and sensitive (and adapted to rural versus urban needs) as well as specific to target groups. Based on the needs assessment conducted in both countries, the program should include the following:

- Development of educational materials including training manuals
- Training of all relevant workers, including teachers, nurses, journalists, police, politicians, the military and volunteers.
- Training of trainers
- Establishment of resource centers
- Study tours for training of professionals.
- Peer-to-peer education, especially for youth
- Helping to develop curricula for schools and universities
- Education of parents
- Mass media campaigns
- Development of audiovisual materials
- Strengthening of Internet access and distance learning.
- Community based vocational training centers.
- Development of sports programs and centers
- Concerts and theatre
- Helping to establish confidential services for youth
- Strengthening the capacity of NGOs to deal with drug problems
- Establishing national and sub-regional networks
- Running a small-grants program

The aim of the program should be to ensure a strengthened multisectoral response to drug demand reduction, increasing public awareness, decreasing vulnerability of youth and risk groups, community based approaches, training in demand reduction for professionals.

## **Geographic Focus**

There is a need to develop programs that can eventually be conducted at the national level in both countries. To begin with, however, it is recommended that pilot programs be developed and conducted in the areas of highest need. These are Tashkent and greater region, Samarkand, Ferghana Valley, and Surkhandaryo in Uzbekistan. In Tajikistan, these areas are the cities of Dushanbe and Khojand and surrounding areas and the southern sections of the country, namely the southern portions of the province of Khatlon. Materials and training need to be available in Russian, Uzbek and Tajik.

A small amount of funding is available to support replication of highly successful activities and materials to other Central Asian countries.

There are also some priority areas for sub-regional coordination and support:

- Information and experience exchange
- Joint implementation of projects across borders
- Building a joint pool of local experts, capacity and resources,
- Pooling and sharing information and experience to avoid duplication of efforts

All activities, regardless of sectoral focus, should involve members of the local community, contribute to the development of indigenous organizations, encourage sustainability, and provide a strong link to longer-term development. Partners in carrying out the programs should include state bodies for youth policy, pilot schools, Ministries of Education, of Health, and of Justice, National AIDS Centers, Healthy Lifestyle Promotion Centers, NGOs, local governments, mass media, journalist associations, UN bodies and other international organizations.

Special consideration should be given to the most vulnerable groups listed above, such as youth and migrants, and should deal with rural as well as urban communities. We encourage activities, which are designed to tap into various life experiences while blurring ethnic differences and enriching community life. Support groups and local associations are an

important building block. USAID also encourages those organizations which have on-going USAID-financed activities to submit proposals which expand the range of objectives within existing activities but with a focus on drug prevention. USAID will also accept proposals jointly prepared by more than one organization, and expects that the roles and responsibilities are clearly stated and delineated. Organizations may wish to pool resources in order to extend competitive advantages.

## **C. PROGRAM GOALS**

The short-term goal for this new program is:

### **Increased Knowledge and Skills with respect to the Prevention of Drug Misuse in Select Populations**

The long-term goal of the program is:

### **Decrease in Drug Misuse among Select Populations**

“Select populations” refers in this program to those members of priority groups residing in priority target regions. These priority groups are youth, professionals, commercial sex workers, prisoners and migrants. These are Tashkent and greater region, Samarkand, Ferghana Valley, and Surkhandaryo in Uzbekistan. In Tajikistan, these areas are the cities of Dushanbe, Khojand and Khorog and surrounding areas and the southern sections of the country, namely the southern portions of the provinces of Khatlon and Gorno Badakshan.

### **Program Results**

The two primary intermediate results necessary to achieve the program goals are briefly described below. Each result is followed by a series of possible, supporting, intermediate results linked to illustrative indicators. The applicant is asked to propose indicators to measure the achievement of results. Indicators may be different for Uzbekistan and Tajikistan.

### **Intermediate Result No. 1: Select populations are better informed about the effects of drugs and the prevention of drug misuse.**

#### **Desired Outcomes**

- Development of well-informed youth, professionals, commercial sex workers, prison inmates and staff, and mobile populations
- Increased knowledge and understanding by health care providers and other professionals of factors related to drug misuse, early detection of drug problems and improved prevention of drug-related problems as well as improved quality of services
- Increased capacity for community NGOs and local communities to provide education about drugs and drug prevention.

#### **Illustrative Indicators**

- Percentage of target populations demonstrating increased knowledge of the effects of drugs and increased knowledge and skills regarding the prevention of drug misuse
- Percentage of target populations experiencing drug-related harms such as overdose and exposure to HIV/AIDS
- Percentage of NGOs and community groups with knowledge and skills to provide education about drugs and drug prevention.
- Percentage of target populations having access to relevant training, training manuals, audiovisual materials and resource centers
- Number of trainers trained effectively
- Increased distance education and internet capacity with regard to drugs and drug prevention
- Percentage of target populations having access to legal services
- Percentage of youth and parents, including those already using drugs, having access to suitable services

- Percentage of professionals participating in countrywide and subregional networks.

**Intermediate Result No. 2: To reduce youth vulnerability to the negative results of drug misuse and to promote a healthy style of life.**

**Desired Outcomes**

- Reduction of vulnerability of children and youth (in-school and out-of-school) to drug misuse through development of peer-to-peer education and through widespread, sustained programs
- Strengthening of possibilities for developing creative and professional talent among children and youth.

**Illustrative Indicators**

- Percentage of high-school students involved in peer-to-peer education programs
- Percentage of out-of-school youth involved in educational and training programs
- Percentage of children and youth involved in sports, arts and other recreational programs
- Percentage of youth involved in vocational training programs of their choice
- Percentage of children and youth misusing drugs.
- Percentage of reported risky drug using practices.
- Percentage of target populations experiencing drug-related harms such as overdose and exposure to HIV/AIDS.

**Priorities for the Initiative**

The successful organization must demonstrate skill at building consensus among the government/NGO/donor/community involved in this effort, strong management, and leadership capability, and must have considerable experience in the area of drug education and prevention. Innovative approaches will be especially critical in reaching the under-served and high-risk populations. Other important priorities of the applicant to consider include the following:

- Within training, the importance is not so much how many people have been trained nor how many training manuals and systems have been set into place but rather provider performance and the continued, applied use of new and appropriate educational materials by trainers.
- The quality and type of training should be such that those trained can train others, and so forth; resources should allow for the ongoing, sustainable nature of these programs
- The governments of Uzbekistan and Tajikistan, USAID, and other donors such as UNODCCP have invested considerable time and effort in the development of resources that are relevant to this initiative (training curricula, educational materials, communication tools, and training of trainers and service providers). Wherever possible, these resources should be integrated into the Initiative.
- For cost and effectiveness reasons, involvement of NGOs or NGO networks, especially those that are working successfully at the community level is highly desirable. Also where possible Peace Corps volunteers should be involved in the program.
- In order to maximize the impact of limited resources, this proposed program must work in close concert with other donors. Joint planning sessions and workshops, informal discussions and public forums are just some of the ways in which information can be shared.

Familiarization with drug education and prevention activities supported by the governments of Uzbekistan and Tajikistan, USAID, and other donors are important. Program implementers need to collaborate with relevant financing programs.

## **SUBSTANTIAL INVOLVEMENT UNDERSTANDING**

USAID/CAR will participate in activities under this agreement in the following manner: USAID reserves the right to approve all key personnel. A workplan must be submitted during the first 30 days after signing of Cooperative Agreements for USAID approval. USAID will have final approval of all new initiatives.



## **SECTION D**

### **U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

#### **CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]**

##### **PART I - CERTIFICATIONS AND ASSURANCES**

###### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

###### **2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

**(b) Certification Regarding Drug-Free Workplace Requirements**

**Alternate I**

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

**3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### **4. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or

employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**5. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)**

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

**6. CERTIFICATION OF RECIPIENT**

The recipient certifies that it has reviewed and is familiar with the proposed grant format and the regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

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\_\_\_\_\_  
\_\_\_\_\_  
Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_  
\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

## PART II - OTHER STATEMENTS OF RECIPIENT

### 1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

### 2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

### 3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ \_\_\_\_\_

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componententry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	GOODS	PROBABLE	GOODS
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PROBABLE



(Generic)	UNIT COST	COMPONENTS	SOURCE	COMPONENTS
ORIGIN				

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE	PROBABLE	INTENDED USE
(Generic)		UNIT COST	SOURCE	ORIGIN	

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE	SUPPLIER	NATIONALITY
RATIONALE					
(Generic)		UNIT COST	(Non-US Only)		for
NON-US					

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED	UNIT COST	PROPOSED
DISPOSITION				

## 6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

**7. TYPE OF ORGANIZATION**

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

**8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

**Attachment A**

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND  
VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

**(a) Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES  
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

## PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.